

Electronic Acknowledgement Receipt

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Application Number:	10828269
International Application Number:	
Confirmation Number:	5446
Title of Invention:	Risk management system and method providing rule-based evolution of a portfolio of instruments
First Named Inventor/Applicant Name:	Jim Degraaf
Customer Number:	1059
Filer:	Kendrick Lo./Gabriella Recchia
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Application Type:	Utility under 35 USC 111(a)

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File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1	Miscellaneous Incoming Letter	Transmittal.pdf	128235 <small>deed20547bb0602b4a2d136f924056a47191b86b</small>	no	1

Warnings:

Information:

2	Amendment - After Non-Final Rejection	Amendment.pdf	951757 214b4e0b9819a931155e4ec2630d4a3f32e21	no	14
Warnings:					
Information:					
3	Information Disclosure Statement Letter	USPTO_Letter.pdf	91231 43560a34ee127540a7eaf719183cc9720f9e09	no	1
Warnings:					
Information:					
4	Information Disclosure Statement (IDS) Filed	IDS.pdf	66286 50631a954e30a09231d216ca5e46b23310fd991	no	1
Warnings:					
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5	NPL Documents	Algo99.pdf	1264057 4e3be14d38067e197875c133d432095a71e9d	no	53
Warnings:					
The page size in the PDF is too large. The pages should be 8.5 x 11 or A4. If this PDF is submitted, the pages will be resized upon entry into the Image File Wrapper and may affect subsequent processing					
Information:					
6	NPL Documents	Riskwatch_Manual.pdf	3569286 a61d40a0bbe6cae529594702ba1905e6d4eb12	no	290
Warnings:					
Information:					
Total Files Size (in bytes):			6070852		

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New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.